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PTO/SB/05 (08-00)

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(h))

Attorney Docket No. 1735.0410002/RWE/BEC

First Inventor John A. Drewe et al.

Title Substituted 4H-Chromene and Analogs as Activators of
Caspases and Inducers of Apoptosis and the Use Thereof

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 142]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]

5. Oath or Declaration [Total Pages 2]

- a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)
☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: _____/
Prior application information: Examiner _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

NAME STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Attorneys at Law

ADDRESS Suite 600, 1100 New York Avenue, N.W.

CITY Washington STATE DC ZIP CODE 20005-3934

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NAME (Print/Type) Robert W. Esmond

Registration No. (Attorney/Agent)

32,893

SIGNATURE

Robert W. Esmond

Date November 6, 2000

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SKGF Rev 9/19/00 mac 0412appfrm

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	(to be assigned)
Filing Date	(herewith)
First Named Inventor	John A. Drewe et al.
Examiner Name	(to be assigned)
Group Art Unit	(to be assigned)
Attorney Docket No.	1735.0410002/RW

TOTAL AMOUNT OF PAYMENT (\$)**2,296.00**

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: **19-0036**
Deposit Account Name: **Sterne, Kessler, Goldstein & Fox P.L.L.C.**

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION

BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) **710.00**

2. EXTRA CLAIM FEES

	Extra	Fee from below	Fee Paid
Total Claims 82 - 20** =	62	X 18	= 1,116
Indep. Claims 5 - 3** =	2	X 80	= 160
Multiple Dependent		270	= 270

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) **1,546.00**

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) :

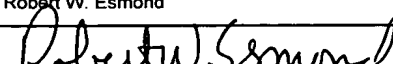
Other fee (specify) :

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **40.00**

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert W. Esmond	Registration No. (Attorney/Agent)	32,893	Telephone	202-371-2600
Signature		Date	11/06/00		

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JC803 U.S. PTO

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**REGISTERED PATENT AGENTS

November 6, 2000

WRITER'S DIRECT NUMBER:

(202) 371-2560

INTERNET ADDRESS:

resmond@skgf.com

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. (to be assigned); filed (herewith)
For: **Substituted 4H-Chromene and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof**
Inventors: Drewe *et al.*
Our Ref: 1735.0410002/RWE/BEC

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal (Form PTO/SB/17) (in duplicate);
2. Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

Substituted 4H-Chromene and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof

and naming as inventors:

John A. Drewe
Sui Xiong Cai
Yan Wang

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JC931 U.S. PTO
09/705840
11/06/00

Commissioner for Patents

November 6, 2000

Page 2

the application consisting of:

- a. A specification containing:
 - i. 99 pages of description prior to the claims;
 - ii. 42 pages of claims (claims 1-78); and
 - iii. 1 page abstract;
 - b. Five (5) sheets of drawings (Figures 1A-1B; 2-3; 4A-4B; 5A-5C and 6A-6C); and
 - c. An executed Declaration for Patent Application;
4. Authorization To Treat A Reply As Incorporating An Extension Of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
 5. Recordation Form Cover Sheet (Form PTO-1595);
 6. An executed Assignment to Cytovia, Inc., recordation of which is hereby respectfully requested;
 7. An executed Power of Attorney from Assignee;
 8. A Certificate under 37 C.F.R. § 3.73(b) from Assignee with a copy of Assignment attached;
 9. Two (2) return postcards; and
 10. Our check No. 29361 for \$2,296.00 to cover:

\$ 710.00	Basic filing fee (37 C.F.R. § 1.16(a));
160.00	Independent claims in excess of three (37 C.F.R. § 1.16(b));
1,116.00	Claims in excess of twenty (37 C.F.R. § 1.16(c));
270.00	Multiple dependent claim (37 C.F.R. § 1.16(d)); and
40.00	Assignment recordation fee (37 C.F.R. § 1.21(h)).

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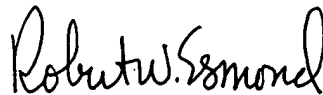
Commissioner for Patents
November 6, 2000
Page 3

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert W. Esmond
Attorney for Applicants
Registration No. 32,893

RWE/BEC/dab
P:\USERS\DENISEB\1735\0412appcov
Enclosures

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